## LAP6 Rec'd PCT/PTO 15 MAY 2006

By Express Mail # EV815067969US

FORM PTO-1390 (REV02-2005) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY. DOCKET #: 5367-239PUS

## TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (15 known, see 37 CFR 15)

INTERNATIONAL APPLICATION NO.

PCT/DE2004/002477

INTERNATIONAL FILING DATE
9 November 2004

PRIORITY DATE CLAIMED
13 November 2003

TITLE OF INVENTION

VCSEL Pumped in a Monolithically Optical Manner and Comprising a Laterally Applied Edge Emitter

APPLICANT(S) FOR DO/EO/US

## Tony ALBRECHT; Peter BRICK; Stephan LUTGEN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- 1. [x] This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
- 2. [] This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371
- 3. [x] This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
- 4. [x] The US has been elected (Article 31).
- 5. [x] A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. [] is attached hereto (required only if not communicated by the International Bureau).
  - b.[x] has been transmitted by the International Bureau.
  - c. [] is not required, as the application was filed in the United States Receiving Office (RO/US)
- 6; [x] An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. [x] is attached hereto.
  - b.[] has been previously submitted under 35 U.S.C. 154(d)(4).
- 7. [] Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. [] are attached hereto (required only if not communicated by the International Bureau).
  - b.[] have been transmitted by the International Bureau.
  - c. [] have not been made; however, the time limit for making such amendments has NOT expired.
  - d.[] have not been made and will not be made.
- 8. [] An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- 9. [] An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- 10.[] A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 20. Below concern other document(s) or information included:

- 11.[x] Two Information Disclosure Statements under 37 CFR 1.97 and 1.98.
- 12.[] An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- 13.[x]A preliminary amendment.
- 14.[] An Application Data Sheet under 37 CFR 1.76.
- 15.[] A substitute specification.
- 16.[] A power of attorney and/or address letter.
- 17.[] A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825
- 18. A second copy of the published International Application under 35 U.S.C. 154(d)(4).
- 19.[] A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
- 20.[x]Other items or information: (specify): PCT/IB/308 (First Notice and Second and Supplementary Notice), Cover page of published PCT application, Int'l Preliminary Examination Report, Int'l Search Report, Request for Publication of Assignment Information

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) INTERNATIONAL APPLICATION NO.							ATTORNEY'S DOCKET NUMBER						
10/2/2028					PCT/DE2004/002477		5367-239PUS						
The following fees are submitted:													
22. [x] Basic National Fee (37 CFR 1.492(a)(1)-(5)) \$300								300					
[x] Examination Fee													
If International preliminary examination report is prepared by USPTO								200					
	-	y the p	provisions of PCT	article 33(1)-(4)		\$0							
All other situ	ations			·	<u>,                                      </u>	\$200							
23. [x] Search													
				t is prepared by U	SPTO	en.	\$	400					
and all claims satisfy the provisions of PCT article 33(1)-(4) \$0  Search fee (37 CFR 1.445(a)(2)) has been paid on the International application to								400					
the USPTO as an International Searching Authority \$100													
International Search Report prepared and provided to the Office or previously													
provided to the office \$400													
All other situations \$500													
ENTER APPROPRIATE BASIC FEE AMOUNT (total of 21, 22 and 23) =							\$						
[] Application Fee for specification and drawing filed in paper over 100 sheets (excluding							_						
sequence listing or computer program listing filed in electronic medium). The fee is \$250 for													
each additional 50 sheets of paper or fraction thereof.													
Total Sheets	Extra She	eets	Number of addi	tional 50 or fracti	on thereof	RATE							
			(round up to a w	vhole number)									
-100 =	-100 = /50 =		x \$250		x \$250	\$							
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the							\$						
earliest claimed priority date (37 CFR 1.492(h)).													
Claims Number Filed Number Extra RATE													
Total Claims			19 - 20 =	0	x \$ 50.00		\$						
Independent Claims			1 - 3 =	0 x \$200.00		\$							
Multiple dependent claim(s) (if applicable) + \$360.00							\$						
TOTAL OF ABOVE CALCULATIONS =							\$	900					
[] Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.							\$						
£1 F F	SUBTOTAL =												
U · PP						Processing fee of \$130.00 for furnishing the English translation later than 30 months from the							
Processing fee o				ish translation late	er than 30 mo	onths from the	<u>\$</u>						
				ish translation late +	er than 30 mo	onths from the							
Processing fee of earliest claimed	priority da	ite (37	CFR 1.492(i)).	+	TOTAL NAT	IONAL FEE =		900					
Processing fee of earliest claimed  Fee for recording	priority da	osed a	CFR 1.492(i)).	+ FR 1.21(h)). The	TOTAL NAT	TIONAL FEE =	\$	900					
Processing fee of earliest claimed  Fee for recording	priority da	osed a	CFR 1.492(i)).	+	TOTAL NAT assignment m	PIONAL FEE = nust be operty +	\$ \$ \$						
Processing fee of earliest claimed  Fee for recording	priority da	osed a	CFR 1.492(i)).	+ FR 1.21(h)). The	TOTAL NAT assignment m 40.00 per pr TOTAL	CIONAL FEE = nust be operty + FEES ENCLOSED	\$ \$ \$	\$900					
Processing fee of earliest claimed  Fee for recording	priority da	osed a	CFR 1.492(i)).	+ FR 1.21(h)). The	TOTAL NAT assignment m 540.00 per pr TOTAL	TIONAL FEE = nust be operty + FEES ENCLOSEE at to be refunded	\$ \$ \$	\$900 \$					
Processing fee of earliest claimed  Fee for recordin accompanied by	g the enclo	osed aspriate	CFR 1.492(i)). ssignment (37 CF cover sheet (37 C	+ FR 1.21(h)). The CFR 3.28, 3.31).	TOTAL NAT assignment m 40.00 per pr TOTAL Amoun	CIONAL FEE = nust be operty + FEES ENCLOSED	\$ \$ \$	\$900					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in	g the enclor the approp	osed appriate	CFR 1.492(i)). ssignment (37 CF cover sheet (37 C	+ CFR 1.21(h)). The CFR 3.28, 3.31).	TOTAL NAT assignment m \$40.00 per pr TOTAL Amoun Amoun ed.	TIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged:	\$ \$ \$	\$900 \$ \$					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in b. [] Please cha	g the enclor the appropriate the amour rge my De	osed apriate  at of \$ posit A	CFR 1.492(i)). ssignment (37 CF cover sheet (37 CF)  900 to cover the all account No. 03-24	+ CFR 1.21(h)). The CFR 3.28, 3.31).	TOTAL NAT assignment m \$40.00 per pr TOTAL Amoun Amoun ed.	TIONAL FEE = nust be operty + FEES ENCLOSEE at to be refunded	\$ \$ \$	\$900 \$ \$					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in b. [] Please chan of this	g the enclor the approp	osed appriate  ont of \$ posit A closed.	Sesignment (37 CFs cover sheet (37 CFs cover s	+ CFR 1.21(h)). The CFR 3.28, 3.31). Soove fees is enclosed in the amount of	TOTAL NAT assignment m \$40.00 per pr TOTAL i Amoun Amoun ed. of \$ to co	TIONAL FEE = nust be operty + FEES ENCLOSED It to be refunded: It to be charged: over the above fees	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in b. [] Please chan of this c. [x]The Comm	g the enclor the appropriate amounting my Depsheet is encounting in the amounting my Depsheet in the amounting my Depsheet is encounting in the amounting my Depsheet in the amounting my Depsheet in the amounting my Depsheet is encounting my Depsheet in the amounting	osed appriate  ont of \$ posit A closed.	Sesignment (37 CF cover sheet (37 CF cover sheet (37 CF 900 to cover the all Account No. 03-24	+ CFR 1.21(h)). The CFR 3.28, 3.31). Soove fees is enclosed in the amount of	TOTAL NAT assignment m 540.00 per pr TOTAL 1 Amoun Amoun ed. of \$ to co	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in b. [] Please chan of this c. [x]The Commoverpation.	g the enclor the appropriate amounting my Depsheet is encounting in the amounting my Depsheet is encounting to the encount	osed apriate  ost of \$ posit A closed. hereb	Sesignment (37 CFR 1.492(i)).  Sesignment (37 CFR cover sheet (37	+  OR 1.21(h)). The EFR 3.28, 3.31). So ove fees is enclosed in the amount of the arge any additional enclosed in the amount of the arge any additional enclosed in the amount of the arge any additional enclosed in the arge any additional enclosed in the arge any additional enclosed in the arge and additional enclosed	TOTAL NAT assignment m 540.00 per pr TOTAL i Amoun ed. of \$ to co	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed.	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x]A check in b. [] Please chan of this c. [x]The Commoverpath NOTE: Where	g the enclor the appropriate amounting my Depsheet is encounting in the amounting my Depsheet is encounting in the amounting my Depsheet is encounting in appropriate an appropriate and appropriate an appropriate an appropriate and appropriate and appropriate an appropriate and appro	osed apriate  ont of \$ posit A closed. hereb eposit	Sesignment (37 CF cover sheet (3	the Property of the Property o	TOTAL NAT assignment m 540.00 per pr TOTAL 1 Amoun ed. of \$ to co I fees which r copy of this sl not been me	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed. t, a petition to rev	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x] A check in b. [] Please change of this c. [x] The Commoverpath NOTE: Where (37 CF)	g the enclor the appropriate the amour rge my Depsheet is encomissioner is syment to D an appropriate 1.137(a)	osed apriate  ont of \$ posit A closed chereb eposit or (b	Sesignment (37 CF cover sheet (3	the Property of the Property o	TOTAL NAT assignment m 540.00 per pr TOTAL 1 Amoun ed. of \$ to co I fees which r copy of this sl not been me	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed.	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x] A check in b. [] Please changed of this c. [x] The Commoverpath NOTE: Where (37 CF) SEND ALL CORR	g the enclor the appropriate the amour rge my Depsheet is encomissioner is syment to D an appropriate 1.137(a)	osed apriate  ont of \$ posit A closed chereb eposit or (b	Sesignment (37 CF cover sheet (3	the Property of the Property o	TOTAL NAT assignment m 540.00 per pr TOTAL 1 Amoun ed. of \$ to co I fees which r copy of this sl not been me	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed. t, a petition to rev	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x] A check in b. [] Please changer overpated by the common overpated by the	g the enclor the appropriate the amour rge my Depsheet is encoursissioner is syment to D an appropriate T.137(a) ESPONDEN	osed appriate  ont of \$ posit A closed chereb eposit oriate or (b)	Sesignment (37 CF cover sheet (3	PR 1.21(h)). The EFR 3.28, 3.31). Soove fees is enclosed arge any additional enclosed arge and additional enclosed arge and arge and arge arge and arge arge arge arge arge arge arge arge	TOTAL NAT assignment m 540.00 per pr TOTAL Amoun ed. of \$ to co I fees which r copy of this sl not been me tore the appli	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed. t, a petition to rev	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy					
Processing fee of earliest claimed  Fee for recording accompanied by  a. [x] A check in b. [] Please change of this c. [x] The Commoverpath NOTE: Where (37 CF) SEND ALL CORR	g the enclor the appropriate is encourage my Depsheet is encourage is encouraged by the appropriate	osed apriate  ont of \$ posit A closed hereb eposit oriate or (b CE TO	Sesignment (37 CF cover sheet (3	PR 1.21(h)). The EFR 3.28, 3.31). Soove fees is enclosed in the amount of the arge any additional enclosed in the amount of the arge any additional enclosed in the amount of the arge any additional enclosed in the arge any additional enclosed in the arge and additional enclosed in the arge and arge and additional enclosed in the arge are argued in the argument of	TOTAL NAT assignment m 540.00 per pr TOTAL i Amoun ed. of \$ to co il fees which r copy of this si not been me tore the appli	rIONAL FEE = nust be operty + FEES ENCLOSED at to be refunded: at to be charged: over the above fees may be required, or heet is enclosed. t, a petition to rev	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$	\$900 \$ \$ duplicate copy it any					